

CLASSIFICATION AND PAY TRAINING COURSE

Course Information

Welcome to the Department of Personnel Administration's Classification and Pay training course.

While this program was developed to educate human resources professionals, it is also intended as helpful information for supervisors and managers. We hope that through this course, you will become familiar with the State of California's Classification and Pay system.

Please note that this course is intended as an introduction to the State of California's classification and pay system and is not intended to replace a full course on classification and pay. Following is a brief overview of what you will learn and information about the course.

Course Objectives

Module 1: Background (30 minutes)

◦ Clarify the roles of the Department of Personnel Administration and the State Personnel Board
◦ Define the State Classification Plan
◦ Identify the types of classes used in the State Classification Plan

Module 2: Class Specifications (30 minutes)

◦ What is a class specification?
◦ Identify the elements and types of specifications
◦ Understand how the class specification is used

Module 3: Duty Statements (30 minutes)

◦ Identify the essential elements of a duty statement
◦ Understand the uses of a duty statement in the workplace
◦ Become familiar with duty statement formats
◦ Understand essential job functions

Module 4: Compensation (30 minutes)

◦ Explain the principles in determining class salaries
◦ Identify what is needed to make a special salary adjustment
◦ Understand criteria for Hiring Above Minimum (HAM)
◦ Clarify differences between alternate ranges and pay differentials

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Module I – Background Introduction

This portion of the training introduces you to the State of California's Classification and Pay system. This module will provide you with some background and terminology to prepare you to understand and best utilize this system.

Module Objectives

◦ Clarify the roles of the Department of Personnel Administration (DPA) and the State Personnel Board (SPB)
◦ Define the State Classification Plan
◦ Identify the types of classes used in the State Classification Plan

History of the State Civil Service System

1934 - The people of the State of California passed a constitutional amendment establishing the civil service system to ensure that employment would be based on merit. This was a reaction to what was perceived as rampant political favoritism. The SPB, with 5 members appointed by the governor, was designed to ensure that employees would be selected and compensated commensurate with the duties performed. There were no significant changes to the personnel system until...

1977 - The Legislature passed the State Employer/ Employee Relations Act (SEERA) setting the stage for the establishment of collective bargaining in state service.

1981- DPA was established to represent management in bargaining with employee unions. At that time various functions were transferred from the SPB, the Department of General Services, and the Department of Finance to DPA.

1984 - An additional Governor's reorganization plan transferred responsibilities for administering the State's classification and pay functions from SPB to DPA.

Current Roles of the State Personnel Board and the Department of Personnel Administration

SPB retains the responsibility for the administration of the State's merit system. Under the law, the SPB still has the authority for adoption and revision of classifications. While DPA works with departments to prepare and submit the classification proposals, the SPB must approve them at one of the biweekly Board meetings. Thus, we call this the "board item" process.

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DPA is the department responsible for managing the non-merit aspects of the State's personnel system. For additional information you can go to:

<http://www.dpa.ca.gov/statesys/respon00.shtm>

DPA & SPB Comparison Chart

The following chart displays some of the functions performed by the SPB and the DPA. A complete discussion of these functions can be found on the DPA and SPB websites.

SPB	DPA
◦ Recruitment	◦ Classification and Pay
◦ Examinations	◦ Labor Relations Negotiations
◦ Transfers and Appointments	◦ Contract Administration
◦ Appeals of Adverse Actions	◦ Benefits Administration
◦ Labor Force Parity	◦ Merit Award Board
	◦ Seniority and State Service Computations

Define the Classification Plan

Government Code (GC) Section 19818.6 vests DPA with the responsibility for administering the "Personnel Classification Plan of the State of California including the allocation of every position to the appropriate class in the classification plan."

Why do we have a State Classification Plan?

The classification plan provides a structure upon which effective organizations are built. No large organization can operate effectively without some method of categorizing the work performed by individuals.

The class plan includes all classes used in the organizations within the State, including classification specification and all the procedures for keeping the plan current. Think of the class plan as a system of relationships. If one element is changed, it can throw the entire system out of alignment.

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Example: There are a number of department-specific investigator classes. Consider how a change in the salary for one investigator class may impact similar classes in other departments

A class is a group of positions similar enough that they can share the following:

- Same descriptive title
- Same minimum qualifications
i.e. the same education, experience, knowledge, and ability are demanded of incumbents
- Same test of fitness can be used in choosing qualified appointees
e.g. Secretary - may include typing test
Correctional officer - will have whole array of peace officer standards and requirements
- Same pay can be applied with equity

These four elements can be applied to any number of positions to determine which ones are sufficiently similar in duties and responsibilities to be allocated to the same class.

Class Types in State Government: Civil Service

Article VII of the State Constitution states that every officer and employee of the State are in civil service except those in positions specifically excluded in the constitution.

Most State Civil Service Classes are Permanent Classes. Permanent classes include Single (with one pay range) and Deep Classes with multiple ranges requiring specific time at each level to achieve a virtually automatic promotion.

In addition to permanent Civil Service Classes, there are also a few temporary classes to meet specific needs in State Service. These are also part of State Civil Service:

Special Consultant - This class can be used when there is a need to bring in a high level consultant from outside state service for a temporary project. Employees in this class can serve for a maximum of nine months.

New Program Consultant - This can be used to fill a gap when setting up a new program and a new class has not yet been created. Employees in this class can serve a period of nine months.

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Career Executive Assignment (CEA) - This is a high level, executive assignment usually appointed by a director. The establishment of a CEA must be based on one critical element. The position must have a strong role in setting policy. The incumbent must also have permanent civil service status in order to be eligible for a CEA appointment.

Types of Classes in State Government: Exempt

Exempt positions must be authorized by legal entitlements. For example, the law may state that "There is in the State, the Department of ____ with the ____ position appointed by the Governor and approved by the Senate."

Exempt employees have no civil service status. They serve at the pleasure of the appointing power and can be terminated at any time.

Exempt employees include:

- Governor appointees
- Constitutional officers (elected officials such as)
 - Superintendent of Education
 - Insurance Commissioner
 - Secretary of State
 - State Treasurer
 - Attorney General
- Board and commission members
- Board or commission appointees (usually the executive officer)

Building Blocks

Classes are the building blocks of the classification plan. Central to position classification are two concepts.

1. The identification of the duties for each position.
2. The grouping together of positions performing similar duties into distinct classes.

The classification plan is a tool that can be used by supervisors and managers for budgeting, identifying training needs, identifying career patterns for employees, and preparing staffing proposals for new or expanded programs.

Maintenance of the classification plan is a partnership between the DPA, the SPB and all State departments.

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Other parts of the Classification Plan include:

- Organization charts
- Allocation guidelines
- Pay scales
- DPA and SPB laws and rules

Classification Terms

The following definitions are a review of basic personnel terminology.

Classify -To allocate a position into a class.

Duties and Responsibilities - The work assigned to a position and the matters for which the employee is held accountable.

Position (or Job) - A group of duties legally assigned to be performed by a single employee. A position may be vacant or filled; full time or less than full time.

Position Audit -The review or study of one or more position(s) to determine, assess, or confirm the kind and level of duties assigned to and performed by the employee(s) in the position(s).

Position Description - Also called a duty statement, this is a statement of the specific duties and responsibilities that make up a position.

Allocation - The placing of a position in a class.

Allocation Factors - The work requirements which can be compared in order to measure the similarity and evaluate the level of jobs. Allocation factors include, but are not limited to the following:

- Variety and Scope of Responsibility
- Supervision and Guidelines Received
- Supervision Exercised
- Complexity of Work
- Knowledge and Abilities Required
- Responsibility for Decisions and Actions
- Personal Contacts/Relationships
- Working Conditions/Environment
- Consequence of Error
- Area of Responsibility
- Administrative Responsibility

Class Specification - A legal document that describes a job class. It follows a standard format to address key characteristics of the class such as a concept, typical tasks, minimum qualifications, etc.

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Class (Job Class) - A group of positions with similar duties. A class is made of positions with duties that are similar in level and kind. Duties should be sufficiently similar so that:

- a. the same title may be applied to all positions
- b. the same test can be used to fill all positions in the class
- c. persons with the same minimum qualifications (education, training, and experience) can do the work assigned in all positions
- d. the same salary range may be applied to all positions

Class Series - A group of classes (two or more) similar in duties but different in type or level of work. For example:

- Junior Clerk
- Intermediate Clerk
- Senior Clerk
- Supervising Clerk I
- Supervising Clerk II

Occupational Group - A number of class series related by broad similarity of work. For example: Clerical and Allied Services, Fiscal Management and Accounting

Classification Plan - The human resources system that includes all of the classes used by the organization, the class specifications and the procedures for keeping the classification and plan current.

Module Completed!

You have successfully completed **Module 1: Background**.

The next module is "**Class Specifications**". This module provides a foundation to understand the Classification and Pay system.

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Module II – Class Specifications

Introduction

The **Class Specifications** module provides a foundation to understand the Classification and Pay system. It explains the key terminology, elements and types of a class specification, as well as the use of a class specification in the State's Classification Plan.

Module Objectives

◦ What is a class specification?
◦ Identify the elements and types of specifications
◦ Understand how the class specification is used

What is a Class Specification?

Formal definition

[Government Code \(GC\) Section 19818.6](#) states that the Department of Personnel Administration (DPA) shall administer the Personnel Classification Plan of the State of California. In summary, positions will be included in the same class if the positions:

- a. Are sufficiently similar in respect to duties and responsibilities and the same descriptive title may be used.
- b. Have substantially the same requirements as to education, experience, knowledge, and ability.
- c. Have substantially the same test of fitness.
- d. Equitably fit into the same schedule of compensation.

“Class Specifications” are the documents that are used to implement the legal requirements of [Government Code \(GC\) Section 19818.6](#).

Informal definition

A class specification is a legal document describing a group of positions. It summarizes the duties and responsibilities of the positions. It contains examples of the work performed, including the minimum educational and experience requirements for the class.

A set of duties may vary significantly among positions of the same classification. As an example:

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An Associate Governmental Program Analyst (AGPA) might manage contracts within a department, and have extensive knowledge in a specific field. Another AGPA might be responsible for administrative functions (personnel, budgets, contracts) within a division, and have some knowledge of each function. However, the same testing requirements, related to general knowledge and abilities, can be applied to both positions. Both are expected to provide analyses, alternative solutions, recommendations, and communicate effectively. Both must be independent in their work, and produce journey level work products.

Purpose of a class specification

Class Specifications are an essential tool used by Human Resource professionals, as well as departmental supervisors and managers in administering the Classification Plan. The documents assist departments in identifying and organizing work, and establishing a class structure to meet a department's mission, role or legal mandates. The documents may also serve as a benchmark for establishing or comparing compensation levels.

It is important that a class specification:

- Clearly describe and define the type of work performed.
- Ensure the description of work is distinguishable from other classes.
- Identify the level of responsibility and complexity.
- Identify the qualifications required to successfully perform the work.

The class specification is a valuable tool for human resource professionals, supervisors and managers, and employees within a State department. The following are examples of how the class specification may be used as a resource in many different areas:

- Allocating positions/duty statements (Identify the proper class/level for work performed)
- Recruiting new/qualified applicants
- Selection (Developing civil service exam content or critical factors to be evaluated in a hiring interview)
- Training needs
- Performance evaluation
- Career development
- Cross training (Training and Development Assignments)
- Succession planning

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Types and Elements of Class Specifications

There are two types of class specifications:

1. **Individual (or Single) Class Specification**: This format describes a single classification.
2. **Series Class Specification**: Two or more closely related classifications are described within the document, either in a vertical or horizontal relationship to each other. (This type of classification will be discussed in more detail later on in this module.)

Single Class Specifications

A Single Class specification typically contains the following elements listed below:

- a. **Schematic Code**: This is a 4 digit alpha/numeric code contained in the upper right hand corner of the specification. The code identifies the occupational grouping of the class (see example, [Section 15 Salaries of Civil Service Classifications](#)). DPA is responsible for issuing the schematic code to a class specification.
- b. **Class Code**: A four-digit numeric code in the upper right hand corner of the specification cross referencing the classification. Also used for payroll, budgeting, and position identification. DPA issues these codes as well.
- c. **Class Title**: A brief, basic description of the related work.
- d. **Definition**: The “Definition” section of the class specification determines the boundary of a class. It includes the concept of the classification, including the typical work, and level of responsibility. The organizational setting and supervision given or received is also covered in this section. The Definition sets the foundation for the remaining portions of the class specification, which should be clearly related and consistent with the Definition.

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Terminology:

The following are some examples of standardized terms indicating 'supervision received':

Under close supervision – used for entry level classes in which the employee receives training.

Under general supervision – the positions are subject to a minimum amount of continuous and direct control (journey level).

Under general direction – usually refers to classes which receive administrative direction. Guidance is often set forth in legislation and general rules and policies of the organization (supervisory, managerial, executive level).

Terminology:

The following are some examples of standardized terms indicating 'work performed and supervision exercised':

To do - indicates performance of the task by the employee, and not supervision of the task being done by other employees

To supervise – usually overseeing and controlling work performance of others in a close working relationship

To coordinate – indicates the position is not supervisory, but is responsible to serve as a liaison with peers to produce a smooth operation or cohesive product/report.

- e. **Distinguishing characteristics:** Accentuates the Definition and Typical Tasks elements of the specification when the distinction between the particular class and the next higher or lower class may not be clear. (Example - **Lead Groundskeeper I (Correctional Facility) class code 0718**)

This portion is only used when it is necessary to emphasize those characteristics of the work that separates the class from other classes.

These characteristics typically describe the functions performed, complexity factors and scope of responsibility within the specification, or if necessary, in a separate document titled "Allocation Guides" which address the various allocation factors. Allocation Guides are work requirements and characteristics

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which can be compared in order to measure the similarity or differences when evaluating the level of jobs.

Depending on the classification, a variety of allocation factors can apply. Human resources analysts make decisions based on which factors are most relevant.

Allocation Factors

1. Variety and Scope of Responsibility
2. Supervision and Guidelines Received
3. Supervision Exercised
4. Complexity of Work
5. Knowledge and Abilities Required
6. Responsibility for Decisions and Actions
7. Personal Contacts/Relationships
8. Working Conditions/Environment
9. Consequences of Error
10. Area of Responsibility
11. Administrative Responsibility

- f. **Typical Tasks:** This section clarifies the terms used in the class definition, provides additional detail, and expands the description of the specific duties that are characteristic of positions in the class. This element is helpful when classifying positions and understanding the type of work performed in a class. It can also provide a basis for finding comparable jobs when conducting salary surveys. The list of tasks is not intended to be exhaustive or restrictive, but it should represent major tasks that are common. It is important that the tasks are:

- Specific, clear and avoid technical jargon
- Truly typical of all or almost all positions in the class
- Arranged in the general order of importance
- Descriptive of the nature of the activities
- Clustered into types of activities if there are two or more patterns of duties.

- g. **Minimum Qualifications:** This section includes components and characteristics necessary to successfully perform the work in the class, and identify likely sources of qualified candidates:

Experience: Requirements are generally described based on internal and external recruitment sources.

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1. The internal patterns for recruitment within civil service are called 'promotional' and 'servicewide'. Promotional descriptions reflect experience gained in a specific department and class. When there are also other potential competitors from other departments/classes, the descriptive pattern is known as servicewide.
2. The external pattern for identifying qualifications and recruitment for persons outside of civil service is called 'open'.
3. The standardized format for all patterns usually identifies the number of years, level and type of work, and identifies a comparable level of experience in the State civil service by identifying a specific class title.

Education: The educational component may include a variety of acceptable educational requirements depending on the level of the classification ranging from: high school graduation or Associate degree, up through a Doctoral degree. Some classes allow a certain amount of specific experience to be substituted for the educational degree requirement. Often times, a specific area of study or specific coursework will be identified as part of the education requirement. The minimum educational requirements should not screen out individuals who are likely to be capable of performing the duties of the class. However, for some classes, such as a scientist or teacher, there is no allowance for substituting experience for education. This is because formal and successful classroom study has been deemed essential to perform this work.

License or Certification Requirement: The performance of some work may mandate the class possess a specific license or certificate, such as a health care professional, attorney or engineer. In other cases, it may be determined that the license or certificate is highly desirable for the performance of the work. The format of this requirement should identify the name or title of the license/certificate and the issuing body. (Example - [Associate Sanitary Engineer, class code 3825](#))

In addition, the sub-sections of *Knowledge and Abilities*, *Special Personal Characteristics* and *Additional Desirable Qualifications* are considered part of the Minimum Qualifications.

- h. **Knowledge and Abilities:** These sections should identify critical factors that relate to performing the typical tasks, and provide factors on which examinations can be based and measured.

The Knowledge and Abilities should be:

- Based on primary duties and responsibilities
- Defined as specifically as possible
- Grouped together based on subject matter and level of class
- Arranged in order of importance

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- Omit information easily acquired on the job, or covered by State Personnel Board Rule 172 which is required for all State civil service employees.

Rule 172

“All candidates for, appointees to, and employees in the state civil service shall possess the general qualifications of integrity, honesty, sobriety, dependability, industry, thoroughness, accuracy, good judgment, initiative, resourcefulness, courtesy, ability to work cooperatively with others, willingness and ability to assume the responsibilities and to conform to the conditions of work characteristic of the employment, and a state of health, consistent with the ability to perform the assigned duties of the class. Where the position requires the driving of an automobile, the employee must have a valid state driver's license, a good driving record and is expected to drive the car safely. The foregoing general qualifications shall be deemed to be a part of the personal characteristics of the minimum qualifications of each class specification and need not be specifically set forth therein. The board may prescribe alternative or additional qualifications for individual classes and such shall be made a part of the class specifications.”

- i. **Special Personal Characteristics:** This section is used to emphasize vital personal or physical requirements that are unique to the class and necessary for successful job performance. In many cases, special personal characteristics are not required beyond those found in Rule 172 (e.g. integrity, honesty, good judgment, etc.). Therefore, this section is intended to:
 - Identify extraordinary traits to look for when evaluating candidates
 - Indicate to the candidate what is expected and required of a prospective employee

Examples of special personal characteristics may include: visual acuity, strength and endurance; uniform requirements or other working conditions, or a specific class of a driver license. Physical requirements should be reviewed by the Medical Officer, State Personnel Board, and/or have a validated study completed.

- j. **Special Requirements:** Many classes, especially law enforcement, may have special requirements imposed by law, rules or policy. There is not necessarily a separate section titled Special Requirements; however, there will be a heading describing the particular requirement. Examples

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include: Drug Testing Requirement; Citizenship Requirement or Background Investigation. (Example - [Fish and Game Warden, class code 8421](#))

- k. **Additional Desirable Qualifications:** This is not a customary section. It is used when there is justification that the characteristics or qualifications significantly enhance the applicants' ability to perform the work. Additional Desirable Qualifications may include:
- Formal Education – 'major work' in a certain field, or a bachelor, master or doctorate degree
 - Kind and amount of experience; broad or specialized
 - Skills and abilities above the required minimum.

Series Class Specification

This specification combines a series of individual class specifications into a single document with a descriptive title for the series. The definitions, minimum qualifications, knowledge and abilities, allocation factors and standards, and other pertinent information are grouped within the document. The series relays the concept and level of each class in relation to the entire series and promotional patterns through the series. It promotes consistency in descriptions, minimum qualifications and allocation factors.

There are generally three types of design for series specification:

1. **Vertical:** A progressive relationship of classes, from higher to lower levels of responsibility. (Example - [Staff Services Manager, class code 4800](#) and [Manager, DMV, class code 8746](#)).
2. **Horizontal:** A group of closely related classes at the same level, but with different areas of specialization. (Example - [Vocational Instructor, class code 2383](#))
3. **Core:** A combination of the vertical and horizontal relationship of classes in one specification. (Example - [Biologist, class code 6366](#))

Series specifications often include unique or expanded elements due to the multiple classes described:

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Format

1. **Class Title:** The class title of the series is 'descriptive' of the multiple classes/type of work performed by the classes.
2. **Scope:** This section lists the 'individual' class titles and related schematic codes and class codes. The levels are typically distinguished by either a numeric differentiation (e.g. I, II, III) or adjective (e.g. Assistant, Associate, Staff, and Senior). Often there is a general description of the typical work (Definition of Series) performed by all the classes in the series in this section.
3. **Entry Level:** When entrance to the class series is through a class or classes not identified in the series, this section will list the 'entry level class/classes'.
4. **Levels Description:** This section is applicable to Vertical and Core Series specifications, and describes the primary duties and responsibilities of classes at each level in the series. Each class level should be specific, indicate the function of the class (e.g. trainee, journey, and supervisor) and provide the scope of the assignment which distinguishes the work performed.
4. **Allocation Factors:** Allocation Factors should be described within the class specification whenever possible. On occasion, a separate document may need to be developed describing the functions performed, complexity factors, and scope of responsibility.

This section should provide clear distinctions regarding the level by describing the responsibilities in straightforward terms:

- The difficulty and complexity of work
- The kind and degree of supervision received
- The exact nature and extent of specific non-supervisory/supervisory or administrative responsibility
- The precise meaning of general allocation criteria (e.g. size of staff, complexity of work, etc.)

Minimum Qualifications

In addition to the Minimum Qualification Requirement description described in the Single Class Specification, the requirements for a Series specification can be described in a variety of ways. The patterns should always:

Be presented clearly and logically

Group requirements that apply to more than one class to avoid repetition

Ensure an equitable progression of experience/education requirements between classes, as well as promotional, servicewide and open patterns

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Class History

In a Series Specification, the Class History is listed at the end of the class specification. Each individual class is listed and the categories of dates will be identified: Established, Revised, or Title Change.

Understanding the Uses of a Class Specification

The class specification is a valuable resource and tool in administering the State Classification Plan. As an example, when determining a 'position allocation', the class specification is an essential resource in making a clear determination on the proper classification for the duties and responsibilities identified. The elements of a class specification that are most likely to be used when allocating positions include the Definition, Typical Tasks, as well the Knowledge and Abilities sections. Common uses for class specifications include:

- Developing duty statements
- Providing a basis for exam content
- Identifying recruitment sources
- Providing a reference for persons seeking career information
- Facilitating training and upward mobility
- Conducting classification studies and comparisons

Module Completed!

You have successfully completed **Module 2: Class Specifications**.

The next module is "**Duty Statements**". This module allows you to become familiar with the essential components of a duty statement.

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Module III - Duty Statements Introduction

During this portion of your training you will become familiar with the essential components of a duty statement. This module will provide you with some generally accepted practices that can result in useful duty statements.

Module Objectives

◦ Identify the essential elements of a duty statement
◦ Understand the uses of a duty statement in the workplace
◦ Become familiar with duty statement formats
◦ Understand Essential Job Functions
◦ Practice writing a duty statement

What is a Duty Statement?

The duty statement, also known as a job description, defines the tasks that are assigned to a specific position. The position must contain duties that fall within the broad scope of the class specification. It is not unusual to find a lot of variation in duty statements for positions within the same classification due to the variety of departmental settings and organizational structures.

There is no standardized form for writing duty statements; however, many departments develop a form for their own departmental use. Unlike class specifications, duty statements are not considered legal documents.

It is management's responsibility to assign the duties, and to ensure the duties assigned to the position are appropriate for the classification. Employees should be provided with a copy of their duty statement. This will ensure that employees understand who they report to and what duties they will be expected to perform.

Essential Elements of a Duty Statement

A duty statement should:

- Contain a 'General Statement' about the position: This statement should briefly summarize the main purpose and functions of the position. It should also describe the position's supervisory relationships.
- Identify 'Typical Duties' to be performed by the incumbents: A list of tasks, including essential functions that are to be performed by the position should be developed. The following areas should be addressed:

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The list of 'Typical Duties' should address the following:

1. What is the task or duty being performed? Provide enough detail to explain what is being done.
2. Objective or purpose of the task. Why is the task performed? What systemic goal is being achieved?
3. Where/When is the task done? Include this information if it is relevant to the working conditions of the job.

"Group" similar tasks together:

The tasks should be grouped or clustered in related categories, and listed in the order of importance.

Each group of tasks should have an associated percentage of time identified. This important element defines the amount of time spent per task. It is also important in determining the allocation of a position. For example, whether a task is performed 5% of the time or 50% makes a significant difference.

Other Related Elements:

It is important that the description convey the following allocation factors:

- Variety and Scope of Responsibility
- Supervision and Guidelines Received
- Supervision Exercised
- Complexity of Work
- Knowledge and Abilities Required
- Responsibility for Decisions and Actions
- Personal Contacts/Relationships
- Working Conditions/Environment
- Consequence of Error
- Area of Responsibility
- Administrative Responsibility

What are the Uses of a Duty Statement?

When tasks are clearly identified, and cover the scope of work and responsibilities, the duty statement enables the proper classification of the position. The tasks should assist in identifying whether the position is clerical, analytical, supervisory or another specialty.

Many individuals use duty statements in order to make a variety of business-related determinations. The most common uses of duty statements include the following:

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Supervisors and Managers Use Duty Statements to:

- Organize and assign work
- Communicate performance expectations
- Develop job opportunity bulletins
- Use as an evaluation tool for probationary reports and annual assessments
- Develop recruitment information
- Communicate job expectations to employees
- Assist in determining training needs of subordinate staff
- Avoid out-of-class assignments and situations

Employees Use Duty Statements to:

- Learn about the requirements of a job
- Assess training needs and develop training plans
- Determine if duties assigned are with the concept and level of their class

Personnel Analysts Use Duty Statements to:

- Properly allocate or classify positions
- Adjudicate out-of-class claims
- Recommend correct organizational structures
- Prepare information for examination purposes
- Develop a common understanding of allocation with employees, supervisors and union representatives.

Suggested Duty Statement Format

It is helpful to keep the uses of duty statement in mind when determining what type of information is most beneficial to include within a duty statement.

Generally there are two approaches to a duty statement format.

1. The format can be designed to describe one position alone.

The format can be more general in nature, and describe a small group of similar positions in the same class all working in the same unit, performing the same work.

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Duty Statement Terms

Please consider the following tips when preparing duty statements:

- Use the class specification and allocation guides, if available, to identify the terminology regarding the source and amount of supervision provided to the position.
- Ensure the duty statement is easy to read and understand. Avoid the use of unclear terms.

The following components are included in a standardized duty statement format:

1. Official classification title
2. Position concept
3. Specific description of each action performed including:
 - The action to be performed; what is being done? (Examples: Typing, filing, writing, digging, fighting fire)
 - For whom or for what purpose is the action being performed?
 - What is the outcome or end result of the task being performed?
 - Why is the performance of the action needed?
 - What aids, equipment or tools are required to perform the action? (Examples: Physical, visual aids)
 - Under what supervision is the action performed and to what extent? (Examples: General, direct, minimal supervision)

Example of a task: *"Under general supervision, using a personal computer, types memos and quarterly reports for the Strategic Planning Manager in response to control agency requirements."*

Each department is likely to use their own individual duty statement format, which can result in more or less detail. However, in most cases the following optional descriptive elements are typically found within a duty statement.

Optional Information:

- Department name
- Working title
- Position number
- Geographic location
- Name of supervisor
- Title and number of subordinates, if any

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Other tips

Spell out acronyms, laymen's terms, etc.

Describe work of a singular position whenever practical

Ensure the task percentages equal 100%, even if the person is less than full time

As you write the duty statement, remember the allocation factors and try to reference them within the descriptions.

Words that Lead to Confusion

Term: **Complex**

Questions to Ask: What factors make the duties complex? Is it the sensitivity of project or assignment; the level of independence, the critical nature of the assignments related to budget, revenue, number of clients, impact etc.

Term: **Coordinates**

Questions to Ask: What/who is the position 'coordinating'? What will the position's involvement be and on whose behalf is the position coordinating the task?

Term: **Monitor**

Questions to Ask: Define what is meant by monitoring. What level or type of review occurs? What does the position do with the results of their 'monitoring'?

Term: **Analyze**

Questions to Ask: What does the position analyze? Does the analysis involve separating an idea, procedures or legislation (etc.) into parts and then looking at how the parts relate to each other? What does the position do with the analysis? Is there a report, issue paper, law, rule or procedure resulting from the work? (This term should not be used in clerical duty statements or to describe clerical work.)

Essential Job Functions

In light of the Americans with Disabilities Act (ADA), let's briefly look at another consideration when writing duty statements.

Essential functions of a job are described as basic job duties of a position that an employee must be able to perform with or without reasonable accommodation.

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For example:

An essential function of an Office Technician (Typing) is to type.

A Firefighter must be able to extinguish fires using various types of equipment.

What makes a job task essential?

Questions to Ask	Examples
Does the position exist to perform the function?	Yes.
Would removing the task change the concept of the position?	An Office Assistant (typing) can do a number of clerical support functions, but mainly exists to provide typing support. If the typing task is removed, the position no longer meets the concept of the classification.
Are there a limited number of positions available to perform the function?	A manager has an Office Assistant position for general clerical support answering phones, typing, etc.
Is the function highly specialized, requiring unique expertise or educational background?	A procurement office wants a computer database developed and maintained in order to track procurement expenditures.
If an employee is hired to proofread documents, is the ability to read essential?	Yes.
Is the ability to program a computer an essential function?	Yes. For this position, the person is being hired for computer programming expertise.

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Determine which tasks are essential to the job. The non-essential duties can be adjusted if needed.

Why is it important to determine essential job functions?

- Americans with Disabilities Act requires reasonable accommodation of any essential job functions
- Essential Job Functions
 - form a basis for legal and appropriate interview questions
 - enable selection of productive employees
 - are needed for fitness for duty examination
 - are required for return to work programs

Remember, in order to be useful, duty statements should be:

- Easy to read and understand
- Specific enough to derive an understanding of the skills, knowledge and work, but general enough to allow operational changes and variation.
- Be general enough so as not to preclude someone with a disability.

Module Completed!

You have successfully completed **Module 3: Duty Statements**.

The next module is "**Compensation**". This module allows you to become familiar with common compensation issues that arise in the classification and pay process.

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Module IV: Compensation

Introduction

During this portion of your training you will become familiar with common compensation issues that arise in the classification and pay process. This module will provide you with some generally accepted practices.

Module Objectives

◦ Explain the principles in determining class salaries
◦ Identify what is needed to make special salary adjustments
◦ Describe the conditions and requirements to obtain a “Hire Above Minimum” (HAM)
◦ Explain the difference between alternate ranges and pay differentials

Determining Class Salaries

Setting an appropriate State salary is one of the most critical components of establishing a new job class. Attracting appropriate candidates, retaining qualified employees, and maintaining the quality and quantity of work product all hinge on setting “the right” salary for the class. Inappropriate salary levels may have serious consequences.

If the salary is set too low:

- Examinations for the class will have small candidate pools
- The candidate pools will consist of low quality candidates
- As incumbents leave for better paying jobs, staff retention problems may arise
- More frequent training of new incumbents will be needed
- Low production and poor quality work will result from under-qualified incumbents
- Employees will feel that their services are not valued and will seek salary enhancement
- Excessive resources will be spent to address all of the above

Each job class has a salary range with a minimum and maximum step (respectively the bottom and top of the range). For salary setting purposes, the top step (maximum salary) of the class is always used.

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No two salary analyses are identical. Differences in the classes, user departments, the working and administrative environment, and priorities placed by class stakeholders all combine to make each analysis unique. For this reason, this module discusses salary setting issues (including new class salaries and special salary adjustments) in general terms. This information should be used as a set of guidelines rather than as a set procedure to rigidly follow. For more information contact your department's DPA Analyst.

Conversely, if the salary is set too high:

- Unnecessarily large candidate pools must be processed and evaluated through the class examination process
- Retention problems arise in other classes as employees move to the new, higher paying class
- Recruitment, morale and production problems arise in parallel and related classes
- Demand for salary realignments in parallel and related classes increases
- Salary compaction in higher level classes might occur
- Production costs rise
- Upward mobility flattens
- The class stagnates due to insufficient turnover

For these reasons, the objective in determining an appropriate new class salary is to determine compensation that balances all of the above considerations and meets the program needs being served. If this balance is not found, the class will suffer one or more of the above problems.

How do you find the optimum salary?

Finding a salary that is neither too high nor too low can be challenging. Each stakeholder in the process will have a different view, and not all of the information will fit together cleanly.

Two guideposts will greatly assist in finding the optimal salary:

1. Base the salary analysis on objective data. Rather than opinion and stakeholder preference, use actual information about the class, its comparison to other classes (both vertically and horizontally), its place within the overall State Classification Plan, labor market data, and management expectations and objectives to anchor your analysis. This

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approach will provide a substantial amount of “hard” data which can then be analyzed to find a suitable class salary.

2. Seek a salary that addresses the major needs and issues raised by the various stakeholders. Balance these needs and issues with the objective data collected about the class.

Stakeholders can include:

- Upper management for the user department(s)
- Line and program management who oversee the new class
- Human resource office(s) that administer the new class
- Class incumbents
- Employee union
- Department of Personnel Administration
- Department of Finance
- Customers served by the new class

Each of these stakeholders will have their own unique perspective on the relative importance of the various factors involved in the analysis. Each will have an opinion as to what the appropriate salary should be. These perspectives should be obtained, evaluated on their own merits, weighed against each other, and assessed against the objective data about the class.

This information, along with a clear understanding of the class itself, is the most practical way to determine an appropriate salary. This addresses and balances stakeholder requirements and fits within the State's overall pay program.

Some general recommendations to follow while searching for an appropriate salary include:

- Value information coming from within the State's own classification and pay system more than information coming from outside the State. Differences in classification systems, pay programs, practices and policies make comparisons to outside jurisdictions more difficult.
- Make sure the review addresses parallel classes, promotional classes and recruitment classes to assure acceptability both laterally and vertically. Compaction, misalignment with parallel classes, and recruitment difficulties are issues that must be avoided when setting a new class salary.
- Seek to determine the “prevailing rate of pay” for comparable work. Determine where similar or “like work” is performed. Develop a “benchmark” description of such work and survey the pay of positions/classes in the surrounding job market that match the benchmark description. This information serves as an indication of the prevailing or market rate of pay. This level of pay will differ from one geographic area to another depending on existing labor market conditions.

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Some general recommendations to follow while searching for an appropriate salary include:

- Expect, accept and respect disagreements as they arise among the different stakeholders.
- Conduct your review in a professional manner. Use facts, rather than opinions and preferences, as your basis for action.
- Make sure your points are heard and understood. Listen carefully, share information, and look for areas of common understanding in order to develop mutually acceptable and beneficial solutions.

Special Salary Adjustments (SSA)

What is a Special Salary Adjustment?

Labor market forces, changes in State operations and State needs or modifications to the class will, on occasion, require altering the salary of an existing State class. When this occurs, a special salary adjustment (SSA) may be needed. A SSA is any permanent change to the base pay or base salary range of a class (also called salary realignment or inequity adjustment).

Most SSAs will be subject to the collective bargaining timetable.

The need for a special salary adjustment usually arises from:

- Recruitment problems
- Retention/turnover problems
- Salary compaction with other classes
- Salary inequities between comparable classes
- Change in the duties or concept of a class
- Other management concerns (e.g., labor issues, lack of upward mobility opportunities)

In order to establish the context of the issue(s), salary relationships need to be identified and compared. Salary relationships are charts or descriptions which show the SSA class in relationship to other classes, and how these would be impacted by a salary change in the SSA class. The relationships include those that are associated vertically (promotional and recruitment) or horizontally (any class that is comparable, related or historically tied to the SSA class).

Use classes in the same bargaining unit when discussing internal or verticle relationships.

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In order to obtain an SSA, critical program need(s) must be identified in addition to salary comparison data.

General Guidelines for SSAs

Keep in mind that many SSAs for rank-and-file classes will impact vertical relationships into supervisory and some managerial classes. Classes in the direct and immediate vertical occupational hierarchy might become compacted. Accordingly, the review should include a discussion of this issue.

If no strong comparison is available to existing State classes, survey other representative public jurisdictions and, if necessary, private sector firms that perform the same work.

Clearly identify what problems are generating the SSA request and how an adjustment will “fix” the problem.

Provide information and data regarding other specific classes, recruitment and/or retention problems, and prevailing salaries paid by other employers in the same geographic area (or statewide if a statewide comparison is appropriate).

Discuss other alternatives that were considered, and why these will not resolve the problem. Examples may include, but are not limited to:

- Focused recruitment efforts
- Improved examination planning
- Reorganizing and re-distributing workload
- Reviewing and adapting the use of classes
- Adjusting staff levels
- Providing bonuses, stipends, pay differentials

Hiring Above Minimum (HAM)

Under ordinary circumstances, a candidate begins employment at the lowest step of the salary range for that class. Occasionally, a candidate will have an existing outside salary that is higher than the lowest step. This means the candidate would have to accept less pay to come work for the State. To address this problem, if certain conditions are met, the outside candidate may be eligible for a special salary provision known as “hiring above minimum” (HAM). The amount of the HAM should never exceed that of the existing outside salary, nor should the HAM exceed the maximum salary of the class.

HAMs provide the option to pay above minimum if all of the following conditions are met:

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- The candidate is coming from a position outside State service
- The candidate's existing income is higher than the lowest step in the class salary range
- The candidate has received the higher income for a reasonable length of time (usually at least one year)
- Both the State class and the particular position in that class have special characteristics which support issuing a HAM
- The candidate has not yet begun employment with the State. HAMs are inappropriate for persons who are already State employees.

Hiring Above Minimum (HAM)

An outside candidate's income usually consists of his/her monthly salary. Annual bonuses can be included if the candidate can demonstrate a pattern of having received such bonuses and this pattern shows that the bonus constitutes a "regular" part of the candidate's annual compensation. Imminent pay increases at the outside employment can also be included if the candidate provides adequate documentation of its certainty and immediacy.

HAMs are not appropriate when:

- The candidate is not presently employed, his/her current income is \$0 (zero).
- The candidate has already begun employment with the State; HAMs are not retroactive.

In addition, the class and specific position should possess sufficient specialization or "uniqueness". Relatively straightforward classes such as some of the clerical classes or classes in the allied services would not be appropriate for a HAM. If the specific position's work is general enough to be filled with another candidate (who needs no HAM), then a HAM is not appropriate.

Alternate Ranges and Pay Differentials

Alternate Ranges

An alternate range is one or more additional ranges of pay established within a single class. Each of the alternate ranges represents compensation for:

- Satisfactorily completing the duties of the class for the period of time noted in the criteria of the alternate range; and/or
- Possessing the education, experience, skills or competencies of the alternate range as defined within the alternate range criteria for the class.

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To consolidate two or more classes into a single, deep class, or to establish a new deep class:

- A single test of fitness can be used for all levels in the deep class
- Promotion to the highest level in the deep class is virtually automatic
- There are no examinations for movement between alternate ranges; however, the employee must meet the requirements for movement as prescribed in each alternate range criterion

Deep class

Alternate range classes that fit the above description are called deep classes (e.g., Staff Services Analyst). Placement in a particular alternate range within a deep class is based on the individual's education and experience as defined under each alternate range criteria. Alternate ranges are designed to recognize increased competence to perform the duties of the class based upon experience and knowledge gained in the class. The employee gains status in the alternate range as though each range were a separate class.

The following criteria are used to determine when it is possible to either consolidate two or more classes into a single, deep class, or to establish a new deep class:

- A single test of fitness can be used for all levels in the deep class; and
- Promotion to the highest level in the deep class is virtually automatic.

The Difference Between Alternate Ranges and Pay Differentials

Alternate Ranges

An alternate range differs from a pay differential in that a pay differential (described below) is tied to working conditions and/or possession of a specified license, degree, etc., while an alternate range is tied to “time in grade” (the period of time an employee is in a particular level of a classification), education, or experience. [See [Government Code \(GC\) Sections 19826 and 19829](#) and the [Department of Personnel Administration \(DPA\) Rules 599.674, 599.676, and 599.681.](#)]

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Pay Differential

A pay differential is special additional pay recognizing unusual competencies, circumstances, or working conditions applying to some but not all incumbents in the classes. Creating and issuing a pay differential may be needed in order to recognize:

- Recruitment and retention difficulties
- Special professional or educational certification
- Undesirable work location or shift assignment
- Performance of atypical duties
- Recognition of special but temporary responsibilities
- Acquisition or possession of special licenses, or skills, or training
- Incentive-based pay
- Other special considerations that impact a subgroup within a given class

Alternate Ranges and Pay Differentials

The base pay of a job class is normally considered the only source of income for a given incumbent's performance. In some instances a subgroup of positions within the overall job class might have unusual circumstances, competencies or working conditions that distinguish these positions from other positions in the same class. If these factors warrant additional pay in order to recruit and retain incumbents, pay differentials may be appropriate. The information needed to create or adjust a pay differential is discussed below.

As a general policy, pay differentials should not be established to recognize longevity, that is, pay that recognizes an incumbent's long-time tenure within a given position or class. Such pay differentials complicate the general pay plan and are better addressed through other classification and pay mechanisms.

Special or Unique Circumstances:

- The circumstances must impact some but not all of the positions.
- Pay differential criteria should not be used to circumvent or take the place of civil service examinations.

To establish or revise a pay differential, departments must provide information on the management need for the establishment or revision to substantiate the request. Typically, pay differentials are initiated through the collective bargaining process but may also be the result of a classification proposal.

In unique situations a pay differential may be appropriate to provide additional incentive. For example, the work or assignment may entail additional risk or danger, or be in a remote location.

CLASSIFICATION AND PAY TRAINING COURSE

Course Completed!

Congratulations!

You have successfully completed **Module 4: Compensation**, and the course **"Classification and Pay"**.

Thank you for your participation!

CLASSIFICATION AND PAY TRAINING COURSE

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CLASSIFICATION AND PAY TRAINING COURSE

Glossary

Allocation - The placing of a position in a class.

Allocation Factors - The work requirements which can be compared in order to measure the similarity and evaluate the level of jobs. Allocation factors include, but are not limited to the following:

- Variety and Scope of Responsibility
- Supervision and Guidelines Received
- Supervision Exercised
- Complexity of Work
- Knowledge and Abilities Required
- Responsibility for Decisions and Actions
- Personal Contacts/Relationships
- Working Conditions/Environment
- Consequence of Error
- Area of Responsibility
- Administrative Responsibility

Class (Job Class) - A group of positions with similar duties. A class is made of positions with duties that are similar in level and kind. Duties should be sufficiently similar so that

- a. the same title may be applied to all positions
- b. the same test can be used to fill all positions in the class
- c. persons with the same minimum qualifications (education, training, and experience) can do the work assigned in all positions
- d. the same salary range may be applied to all positions

Class Series - A group of classes (two or more) similar in duties but different in type or level of work. For example:

- Junior Clerk
- Intermediate Clerk
- Senior Clerk
- Supervising Clerk I
- Supervising Clerk II

Class Specification – A legal document that describes a job class. It follows a standard format to address key characteristics of the class such as a concept, typical tasks, minimum qualifications, etc.

Classify - To allocate a position into a class.

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Classification Plan – The human resources system that includes all of the classes used by the organization, the class specifications and the procedures for keeping the classification and plan current.

Compaction - Compaction is the labor market condition in which the salary difference between a recruitment class and a promotional class becomes too small to induce an adequate number of recruitment class incumbents to compete for vacancies in the promotional class.

Differential (Salary Differential) - Differential is the difference in salaries (typically top step compared to top step) between two classes. Differentials are usually expressed in percentage differences between the salaries of the two classes but may be expressed as dollar amounts. Do not confuse this with pay differential.

Duties and Responsibilities - The work assigned to a position and the matters for which the employee is held accountable.

Occupational Group - A number of class series related by broad similarity of work. For example: Clerical and Allied Services, Fiscal Management and Accounting

Position (or Job) - A group of duties legally assigned to be performed by a single employee. A position may be vacant or filled; full time or less than full time.

Position Audit - The review or study of one or more position(s) to determine, assess, or confirm the kind and level of duties assigned to and performed by the employee(s) in the position(s).

Position Description – Also called a duty statement, this is a statement of the specific duties and responsibilities that make up a position.

Salary Range - A series of salary steps moving from minimum to maximum potential salary for a job class.